

“To-Be” Gap Analysis Implementation Steps

1. Gap Identification: BRDM Gap Number 1: Beneficiary Primary Point of Contact (Note: BRDM Gap Number 2: Beneficiary Inquiry / Request Tracking and BRDM Gap Number 5: Access to Trust Integrated Data are included in BRDM Gap Number 1.)
2. Implementation Steps:
 - a. Step 1: Develop and initiate change management / communications procedures required to establish the primary point of contact.
 - b. Step 2: Establish the Trust Officer position and associated authorities to make the Trust Officer accountable.
 - c. Step 3: Establish the workload / staffing requirements to support the trust officer and integrated servicing office by examining the demographics, type of workload, number of allotments, number of Tribes per Agency, distance between offices, etc.
 - d. Step 4: Establish standard operating procedures for any primary point of contact that receives requests from a beneficiary. The standard operating procedures must provide a beneficiary interface that will receive beneficiary requests, prevent beneficiary referral, provide timely and accurate responses, facilitate the delivery of beneficiary-centric services and provide improvement and accountability measures.
 - i. Ensure that the standard operating procedures include the following BRDM business processes:
 1. B.1.1 Verify Beneficiary Identity
 2. B.1.2 Document Contact
 - a. Document inquiries / requests
 - b. Forward inquiries / requests
 - c. Query and display tracking records
 - d. Annotate tracking records
 - e. Handle deadline notifications
 3. B.1.3 Verify Right to Information
 4. B.2.1 Update Beneficiary’s Personal Data
 5. B.2.2 Perform Research and Analysis of Integrated Data
 6. B.2.3 Contact Appropriate Office
 7. B.2.4 Transfer Request to Appropriate Office
 8. B.3.1 Issue Response Verbally
 9. B.3.2 Issue Response via Hard Copy
 10. B.3.3 Issue Response via Internet

“To-Be” Gap Analysis Implementation Steps

- 11. B.4.1 Analyze Tracking Data
 - a. Produce summary statistics
 - b. Report summary statistics
 - c. Continuous review of summary statistics
 - d. Management review of open inquiries / requests
- 12. B.4.2 Package Business Improvements
- 13. B.6.2 Facilitate Beneficiary Interests in Asset Management
 - a. B.6.2.1 Beneficiary Involvement for Ownership
 - b. B.6.2.2 Beneficiary Involvement for Land & NR Planning
 - c. B.6.2.3 Beneficiary Involvement for Land & NR Use & Mgt
- ii. Identify activities that are dependent on the trust integrated data.
- iii. Identify data requirements (elements) and information input or output forms for each business process (activity).
- iv. Identify data elements which must be retrieved from trust integrated data to complete request documentation and provide a response.
- v. Identify activities that are dependent on the network, workflow, imaging and tracking systems.
- vi. Develop step-by-step business process specifications and how information will be collected and processed.
- vii. Develop the forms needed to provide beneficiary information to the other major business processes.
- viii. Integrate constraints into the procedures that come from an assessment of relevant Policies and Procedures, Risk, Records Management and Internal Controls.
- ix. Bring the standard operating procedures into use with schedules and funding.
- e. Step 5: Develop Service Level Agreements (SLAs) between the Trust Officer, Superintendent and Deputy Agency Superintendent for Trust that will identify the authorities, responsibilities and participants in the integrated servicing office to ensure that responses to beneficiaries' request meet defined performance standards.
- f. Step 6: Configure integrated servicing office physical space to facilitate primary point of contact operations.
- g. Step 7: Develop service delivery performance standards for responding to beneficiaries' requests and enter them into the tracking system so the tracking system can automatically notify a request owner that a due date is approaching, etc.
- h. Step 8: Develop training material for the standard operating procedures, service delivery performance standards and tracking system.
- i. Step 9: Train the integrated servicing office personnel and appropriate program specialists on the standard operating procedures, service delivery performance standards and tracking system.
- j. Step 10: Initiate the standard operating procedures.

“To-Be” Gap Analysis Implementation Steps

- k. Step 11: Provide access to the trust integrated data that is required to provide responses to beneficiaries’ requests. This includes a user interface i.e., pre-formatted custom query menus and initial screen that includes links to most frequently used preformatted forms and an on-line help feature.
- l. Step 12: Provide access to the information infrastructure network, workflow, imaging and tracking systems.

3. Dependencies on Business Processes:

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
BRDM		
Predecessors	<ol style="list-style-type: none"> 1. B.1.1 Verify Beneficiary Identity 2. B.1.2 Document Contact 3. B.1.3 Verify Right to Information 	<ol style="list-style-type: none"> 1. The beneficiary’s identity needs to be verified. 2. The contact needs to be documented in the tracking system. 3. If a non-beneficiary is making the contact, his / her right to information must be verified.
Successors	<ol style="list-style-type: none"> 1. B.2 Prepare Information 2. B.2.1 Update Beneficiary’s Personal Data 3. B.2.2 Perform Research and Analysis of Integrated Data 4. B.2.3 Contact Appropriate Office 	<ol style="list-style-type: none"> 1. Primary point of contact completes predetermined forms or applications, as required. 2. Primary point of contact updates the beneficiary’s personal data as requested. 3. Primary point of contact searches the integrated data to provide a response to the inquiry / request. 4. Primary point of contact contacts the appropriate office to compile a response to the inquiry / request, if the response cannot be obtained from searching the integrated data.

**“To-Be” Gap Analysis
Implementation Steps**

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	5. B.2.4 Transfer Inquiry / Request to Appropriate Office 6. B.3 Communication Information 7. B.3.5 Conduct Satisfaction Survey 8. B.4.1 Analyze Tracking Data 9. B.4.2 Package Business Improvements 10. B.5.1 Conduct Outreach Activity 11. B.6.1 Provide Counsel on Asset Options 12. B.6.2 Facilitate Beneficiary Involvement in Asset Management 13. B.6.3 Account Administration	5. Primary point of contact transfers requests to appropriate offices when the request cannot be fulfilled either by performing research and analysis of the integrated data or by contacting an appropriate office to obtain additional information. 6. Primary point of contact provides trust related information (response) to the beneficiary or requestor. Response is provided via preferred method; verbal, hard copy or Internet (B.3.1, B.3.2 and B.3.3) 7. Primary point of contact conducts satisfaction survey. 8. Primary point of contact analyzes the tracking data to identify business improvement opportunities. 9. Primary point of contact packages the identified business improvements for presentation to management. 10. Primary point of contact may identify outreach activity opportunities from the analysis of the tracking data. 11. Primary point of contact, with the assistance of program specialists, counsels beneficiaries on asset use or protection options. Options address financial planning, land planning, land use and land management. 12. Primary point of contact facilitates beneficiary involvement in Ownership, Land and Natural Resources Planning and Land and Natural Resources Use and Management. 13. Primary point of contact serves as the front office for Financial Operations to perform account administration activities as requested.
FO		
Predecessors	1. FO.1.3 Reconcile	1. Financial Operations works with the primary point of contact to

**“To-Be” Gap Analysis
Implementation Steps**

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	<ul style="list-style-type: none"> Exceptions & Produce Report 2. FO.3.3 Reconcile Pre-Disbursement Exceptions and FO.3.6 Reconcile Deficiencies 3. FO.5 Reporting and Statements 	<ul style="list-style-type: none"> reconcile discrepancies with receipts. 2. Financial Operations works with the primary point of contact to reconcile discrepancies with disbursements and to review daily disbursements to ensure timely delivery of funds to beneficiaries. 3. Financial Operations prepares the financial information in the Trust Integrated Data so financial reports may be produced and distributed.
Successors	<ul style="list-style-type: none"> 1. FO.2.1 Review Accounts and Investment Options 2. FO.5 Reporting and Statements 	<ul style="list-style-type: none"> 1. Primary point of contact provides Financial Operations with the results of the investment options counseling sessions. 2. Primary point of contact transfers requests to produce special financial reports.
LNRP – Wide Area Plan		
Predecessors	<ul style="list-style-type: none"> 1. P.2.1.1 Request Resources 2. P.2.3.1 Select Land and Natural Resource Use 3. P.2.3.2 Prepare Documentation 4. P.2.4.1 Request Environmental Clearances and DOI Approvals 	<ul style="list-style-type: none"> 1. Wide-Area Planning works with the primary point of contact to assemble beneficiary representation on the planning team. 2. Wide-Area Planning works with the primary point of contact to review alternative land uses with beneficiary to obtain their support. 3. Wide-Area Planning works with the primary point of contact to collect planning documentation and to review the preliminary draft of the plan with the beneficiary to obtain feedback and support. 4. Wide-Area Planning works with the primary point of contact to review environmental compliance documents, when necessary.

**“To-Be” Gap Analysis
Implementation Steps**

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	5. P.2.4.2 Document Support for the Plan 6. P.2.5 Issue Plan 7. P.3.2 Approve the Plan	5. Wide-Area Planning works with the primary point of contact to review draft plan with beneficiary to obtain feed back and support. 6. Wide-Area Planning provides the DOI developed land use plan so it may be distributed to the beneficiary. 7. Wide-Area Planning provides the approved beneficiary developed land use plan so it may be distributed to the beneficiary.
Successors	1. P.2.2.1 Understand Beneficiary’s Intent 2. P.2.2.2 Collect Pertinent Data 3. P.2.3.2 Prepare Documentation 4. P.3.1 Coordinate and Deliver Planning Assistance 5. P.3.2 Approve the Plan 6. P.4 Evaluate an Existing Land and Natural Resource Plan	1. Primary point of contact provides assistance in collecting information on the beneficiary’s intended use of land and natural resources and supporting documentation. 2. Primary point of contact provides pertinent planning data collected from discussions with the beneficiary. 3. Primary point of contact provides documentation collected from discussions with the beneficiary. 4. Primary point of contact transfers request from tribe for assistance with land use planning. 5. Primary point of contact transfers request for review of a beneficiary completed land use plan. 6. Primary point of contact transfers request to perform evaluation of existing plan.
LNRP - Appraisals		
Predecessors	1. P.1.4 Transmit Determination	1. Appraisals provide completed valuation report or valuation review with a accept / deny decision so it may be provided to the requestor.
Successors	1. P.1.1 Determine Appropriate Valuation Method	1. Primary point of contact transfers requests to perform valuation.

**“To-Be” Gap Analysis
Implementation Steps**

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	2. P.1.3 Review Valuation	2. Primary point of contact transfers requests to perform valuation review.
LNRUM		
Predecessors	1. UM.1.2.2 Request Beneficiary Consent 2. UM.2.1.1 Advertise Land Use Availability 3. UM 2.2 Award Tribal Enterprise 4. UM 2.3 Perform Tribal Allocation 5. UM 2.4 Conduct Bidding 6. UM.2.5 Negotiate Land Use Contract 7. UM.2.6 Approve Land Use Contract 8. UM.4.2 Document Owner or Special Use 9. UM.4.3 Assess Management Unit Use 10. UM.4.5 Report Land Status Summary	1. Use and Management works, with primary point of contact, to provide the beneficiary consent request to beneficiaries. 2. Use and Management works, with primary point of contact, to promote and advertise available lease lands using the developed material. 3. Use and Management works, with the assistance of the primary point of contact, to facilitate awarding a land use contract. 4. Use and Management works, with the assistance of the primary point of contact, to facilitate awarding a land use contract. 5. Use and Management works, with the assistance of the primary point of contact, to facilitate awarding a land use contract. 6. Use and Management works, with the assistance of the primary point of contact, to facilitate awarding a land use contract. 7. Use and Management provides the land use contract awarded / denied decision so it can be communicated to the appropriate parties. 8. Use and Management works with primary point of contact on notifications concerning owners use, condition of land or a trespass on trust lands. 9. Use and Management provides assessment results so they may be delivered to the beneficiary. 10. Use and Management provides the beneficiary’s land use summary so it may be distributed to the beneficiary.
Successors	1. UM.1.1 Establish Management Unit	1. Primary point of contact transfers request to establish management unit baseline and provides the beneficiary’s intent or changes to land use. In

**“To-Be” Gap Analysis
Implementation Steps**

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	Baseline 2. UM.2.1.3 Process Land Use Application 3. UM.3.1 Define Support Activity Criteria 4. UM.4.1 Monitor Management Units 5. UM.4.2 Document Owner or Special Use	addition, beneficiary rights information gathered during discussions with the beneficiary may be included. 2. Primary point of contact provides information and / or documentation gathered during discussions with the beneficiary. 3. Primary point of contact transfers requests for land use technical assistance or support. 4. Primary point of contact transfers requests to investigate a complaint, such as a trespass on trust lands. 5. Primary point of contact transfers notification of owner’s use or update land use records.
Ownership – Title		
Predecessors	1. None	
Successors	1. None	
Ownership – Probate		
Predecessors	1. None	
Successors	1. O.3.1 Prepare Probate Case	1. Primary point of contact transfers requests concerning a pending probate and notifies Probate when a beneficiary’s personal data has been updated, if applicable. Notification is made by the automated system.
Ownership - Conveyance		
Predecessors	1. O.1.4 Delegated Line Official Decision to Accept / Deny Application (F-T, On-Reservation, Undivided Interest) & Delegated Line	1. Conveyance provides an approval / deny decision recommendation for an application for conveyance so it may be communicated to the beneficiary.

**“To-Be” Gap Analysis
Implementation Steps**

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	<p>Official Decision to Accept / Deny Application (T-T & T-F)</p> <p>2. O.1.5 Close Transaction (F-T, On-Reservation, Undivided Interest) & Close Transaction (T-T & T-F)</p>	<p>2. Conveyance provides notification when a trust transaction is closed so the requestor can be notified.</p>
Successors	<p>1. O.1.1 Receive and Review Application Request (F-T, On-Reservation, Undivided Interest) & Receive and Review Application Request (T-T & T-F)</p> <p>2. O.1.1a Serve 30-Day Notices (F-T, On-Reservation, Undivided Interest)</p>	<p>1. Primary point of contact provides conveyance information gathered from beneficiary contact / discussions on fee to trust, trust to trust, and trust to fee options. This includes the completed conveyance application. Primary point of contact also coordinates responses with state and local governments.</p> <p>2. Primary point of contact distributes 30-day notice information for on-reservation fee to trust for undivided interest.</p>
Ownership - Survey		
Predecessors	<p>1. O.2.2 Provide Existing Information to Requestor</p> <p>2. O.2.8 Provide Results to Requestor</p>	<p>1. Survey provides notification that sufficient survey information is currently on file, as well as a copy of the survey information so the information may be communicated to the requestor.</p> <p>2. Survey provides the results of the cadastral survey service so it may be communicated to the requestor.</p>

“To-Be” Gap Analysis
Implementation Steps

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
Successors	1. O.2.1 Assess Customer Needs	1. Primary point of contact transfers requests to conduct survey or for survey specific information.

“To-Be” Gap Analysis Implementation Steps

4. Dependencies on Universal Support Functions:

Universal Support Function	Dependency Description
Automated System Requirements	<ol style="list-style-type: none"> 1. Beneficiary Request Tracking System: Provide a capability to document and track beneficiaries' inquiries / requests. (See Beneficiary Request Tracking System Functional Requirements Document for additional details.) 2. Integrated Trust Data: Provide rapid query and response access to accurate beneficiary, financial, ownership, land and natural resources information to address beneficiary's request and inter-process transactions. 3. Infrastructure network: Provide sufficient network capabilities to support accessing the integrated trust data and utilizing the tracking system. 4. Workflow System: Provide a capability to electronically move trust related documents and notifications from office to office. 5. Imaging System: Provide a capability to image trust related documents and to query and retrieve the imaged documents. 6. Assignment of Personal Identification Numbers.
Policies, Procedures and Regulations	<ol style="list-style-type: none"> 1. None
Training	<ol style="list-style-type: none"> 1. Use of the Beneficiary Request Tracking System. <ol style="list-style-type: none"> a. Document request. b. Complex query and providing informed response. c. Trend analysis. 2. Use of the workflow system. 3. Use of the imaging system. 4. Access and query of the integrated data. <ol style="list-style-type: none"> a. Basic query. b. Complex query. c. Producing reports.

**“To-Be” Gap Analysis
Implementation Steps**

Universal Support Function	Dependency Description
	<ul style="list-style-type: none"> 5. On-line help. 6. Communications and customer service management. 7. Trust relationship management. 8. Primary point of contact standard operating procedures and service delivery performance standards so that whoever receives a inquiry / request can document the request and provide a response or service. 9. Working knowledge of the Financial and Resource Management fiduciary responsibilities of the Trust Officer including cross training on specific functions such as fee to trust, land use planning, leasing and permitting, reports and statements.
Records Management	<ul style="list-style-type: none"> 1. Storage of electronic records.
Risk Assessment	<ul style="list-style-type: none"> 1. Risk associated with: <ul style="list-style-type: none"> a. Authentication of beneficiary’s identity. b. Use of Personal Identification Number. c. 3rd Party requests for information. d. Data access security controls not being adequate. e. Providing information based on erroneous data. f. Releasing trust information to the public.
Workforce Planning	<ul style="list-style-type: none"> 1. Integrated servicing office staffing.
Internal Controls / Fiduciary Security	<ul style="list-style-type: none"> 1. None